



BEST AVAILABLE COPY

PATENT
Atty. Docket No. 3655-0147P

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: William J. WALKER Conf. No.: 8223
Appln. No.: 09/837, 929 Group: 2192
Filed: April 19, 2001 Examiner: J. RUTTEN
For: A MECHANISM FOR CONVERTING BETWEEN JAVA CLASSES
AND XML

DECLARATION SUBMITTED UNDER 37 C.F.R. § 1.131

I, William J. WALKER, inventor of the above-captioned application, do hereby declare the following. The present application was fully conceived by me prior to January 26, 2000. Attached are documents fully describing the conception and due diligence leading to constructive reduction to practice of the present invention on April 19, 2001. Specifically:

CONCEPTION:

EXHIBIT 1: I have reviewed the attached seven (7) page document entitled "A Mechanism For Converting Between Java Classes and XML" (THE DOCUMENT) and confirm that THE DOCUMENT was authored by me prior to January 26, 2000.

THE DOCUMENT provided the basis for Application No. 09/837,929 filed on April 19, 2001. In particular, the description found in THE DOCUMENT, for example, on page 3, line 14 to page 7, line 16, provides written description support for claims 1-10 of Application No.: 09/837,929, claims 1-10 setting forth the methods of the inventions claimed by the inventor.

In addition, the description found in THE DOCUMENT, for example, on page 3, line 14 to page 7, line 16 provides written description support for claims 11-13 of Application No.: 09/837,929, claims 11-13 setting forth the system of the inventions claimed by the inventor.

EXHIBIT 2: I have reviewed the attached e-mail dated January 26, 2000 and confirm that the e-mail was written by me and forwarded to Mr. Joseph Opalach, Corporate Counsel, Lucent Technologies, attaching THE DOCUMENT. This e-mail sent by me to Mr. Opalach proposed that the subject matter of THE DOCUMENT be a candidate for a patent application.

EXHIBIT 3: I have reviewed the attached e-mail dated January 27, 2000 from Mr. Opalach and acknowledge that it is an accurate copy of the e-mail I received on January 27, 2000. This e-mail acknowledged receipt of THE DOCUMENT, and indicated that due to the workload of the assigned attorney, that the application would be scheduled for submission in 5 months.

EXHIBIT 4: I have reviewed the Lucent "Patent Submission IDS #121717" documents dated January 27, 2000 and verify that it relates to my invention described in THE DOCUMENT.

EXHIBIT 5: I have reviewed the letter from Mr. Opalach dated January 31, 2000 acknowledging the formal docketing of my invention submission #121717, and I verify that the record corresponds to my invention described in THE DOCUMENT.

In view of the facts and data attached hereto and described above, I hereby verify to the invention described in the THE DOCUMENT, and later set forth in Application No.: 09/837,929, was conceived by me prior to January 26, 2000.

ACTIVE EXERCISE OF DUE DILIGENCE TOWARD REDUCTION TO PRACTICE:

EXHIBIT 6: I have reviewed the e-mail written by me on May 8, 2000 and addressed to Mr. Opalach, Corporate Counsel, Lucent Technologies, inquiring about the status of invention submission #121717, and expressing my sense of urgency to move forward with this patent submission. Further, I have verified that the e-mail was authored and sent by me.

EXHIBIT 7: I have reviewed the e-mail dated May 8, 2000 from Mr. Opalach and sent to me. Mr. Opalach indicated in the e-mail that consideration of invention submission #121717 would be delayed, but that additional information from me to help prioritize the present invention could accelerate consideration of invention submission #121717 by Lucent Technologies.

EXHIBIT 8: I have reviewed the attached Transfer Submission form transferring responsibility for invention submission #121717 from Mr. Opalach (Lucent) to Mr. T.J. Bean (AVAYA) on August 3, 2000.

EXHIBIT 9: Early 2000 to October 2, 2000: Extensive period of high level planning at Lucent Technologies for corporate restructuring leading to the establishment of AVAYA, Inc. on October 2, 2000. The attached page from www.avaya.com verifies the start of AVAYA's existence on October 2, 2000.

EXHIBIT 10: I have reviewed the e-mail written by me on September 26, 2000 and sent to Mr. Opalach requesting a status update on my invention submission #121717. I verify that I sent this e-mail inquiring about the status of invention submission #121717.

EXHIBIT 11: I have reviewed the e-mail dated September 26, 2000 from Mr. Opalach to me and verify that I received this e-mail. The e-mail of September 26, 2000 from Mr. Opalach indicated that the invention submission #121717 had been transferred from Lucent Technologies to Thomas Bean, Patent Counsel, AVAYA, Inc., but that I should wait a couple of weeks before

contacting Thomas Bean, AVAYA, Inc., because the next couple of weeks would be hectic for Thomas Bean.

EXHIBIT 12: I have reviewed the e-mail sent by me on October 20, 2000 to Thomas Bean, AVAYA, Inc. and verify that I sent it. This e-mail communicated that the subject matter of the invention submission was a very hot technology, and offered considerations for proceeding with the invention submission.

EXHIBIT 13: I have reviewed the e-mail dated October 20, 2000 from Thomas Bean which was sent to and received by me. This e-mail indicated that my invention submission #121717 was currently open, and stated that it was AVAYA's policy to seek appropriate protection for intellectual property. In the e-mail, Mr. Bean suggested that I speak with his colleague, Rob Rudnick, about how to proceed in AVAYA's best interest.

EXHIBIT 14: I have reviewed the e-mail dated October 20, 2000 sent to me from David S. Mohler, Director of Intellectual Property, AVAYA, Inc. suggesting "a very high priority for this application".


EXHIBIT 15: I have reviewed the FAX dated February 8, 2001 from Linda K. Krichman, AVAYA, Inc. forwarding THE DOCUMENT to outside counsel Thomason, Moser, & Patterson, LLP, instructing that an application be prepared ASAP for filing in the USPTO.

I attest that to the best of my knowledge that a draft application was prepared by AVAYA, Inc.'s outside counsel Thomason, Moser, & Patterson, LLP for my review and approval in March or April 2001.

I attest that upon approval by me and AVAYA, Inc.'s Patent Counsel, the application was filed in the USPTO on April 19, 2001 by AVAYA, Inc.'s outside counsel Thomason, Moser, & Patterson, LLP.

In view of the above evidence, I hereby attest that to the best of my knowledge that active exercise of due diligence toward reduction to practice has been demonstrated from the date just prior to September 14, 2000 (the alleged publication date of the earliest references cited by the Examiner), to the constructive reduction to practice of the inventions set forth in THE DOCUMENT, filed as Application No.: 09/837,929, on April 19, 2001.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further declare that these statement and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.


Signed: William J. WALKER

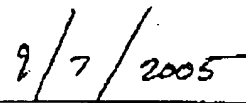

Date

EXHIBIT 1

A Mechanism for Converting Between Java Classes and XML

Overview

Java and XML (eXtensible Markup Language) technologies provide developers with the tools to write portable code and operate on portable data. Support for XML in the Java platform is increasing with the availability of standard APIs and parsers such as SAX and DOM (Document Object Model). While these APIs provide standard mechanisms for reading XML documents, they work at a relatively low level. Using DOM for example, developers must have a detailed understanding of how to use the API to navigate nodes, elements and attributes to extract textual content, and then convert the text to useful program data types. This may be tedious, error prone, and requires the developer to work with classes outside the application domain.

This paper describes a mechanism that allows developers to convert easily between Java and XML representations of data while working exclusively with classes from the application domain. With very little work, developers can add XML support for complex hierarchies of any user defined class, Java primitives and wrapper classes (Integer, Boolean, Float, etc.) as well as collections of such objects.

A proposal by Sun Microsystems has been drafted that deals with this topic using a different approach (*An XML Data-Binding Facility for the Java Platform*, Mark Reinhold, Core Java Platform Group, 30 July 1999 - see www.javasoft.com/xml). They propose a schema compiler that generates Java classes from an XML schema. The API proposed in this paper has the following advantages:

- No schema compiler is required to generate new Java classes.
- New or existing classes can be easily annotated to work with the API.
- The developer has full control and flexibility over how the classes get mapped to XML. Two totally different class implementations can work with the same XML representation in different ways.

The following sections discuss how the API is used including the API class descriptions.

An Example

Data is described in XML in a hierarchical way by tagging elements. An XML document contains one single element (the document element) which may contain any number of other elements. For example, a XML representation of a book store may be

```
<bookStore>
  <name>The Programmer's Book Store</name>
  <address>
    <street>1 Industrial Way</street>
```

```

<city>Middletown</city>
<state>NJ</state>
<zip>07701</zip>
</address>
<books>
  <book reviewed='no'>
    <title>Xml and Java</title>
    <author>Hiroshi Maruyama</author>
    <cost>$49.00</cost>
  </book>
  <book reviewed='yes'>
    <title>Java in a Nutshell</title>
    <author>Flannigan</author>
    <cost>939.00</cost>
    <review>
      <reviewedBy>Joe</reviewedBy>
      <rating>3.5</rating>
    </review>
    <review>
      <reviewedBy>Bob</reviewedBy>
      <rating>9.5</rating>
    </review>
  </book>
</books>
</bookStore>

```

The document contains a single element *bookStore*, which has sub-elements for *name*, *address*, and *books*. The *books* element contains a collection of *book* elements. Elements may contain one or more "attributes" such as the *reviewed* attribute of *book*, used to indicate whether the book has been reviewed or not. Books that have been reviewed contain one or more *review* elements.

This data can be modeled by a set of Java classes, such as:

```

class BookStore {
    String name;
    Address address;
    Vector books;

    BookStore(String name) {...}
    void setName(String name) {...}
}

class Book {
    String author;
    String title;
    float cost;

    Book(String title, String author);
    String getTitle() {...}
    String getAuthor() {...}
}

class ReviewedBook extends Book {
    Vector reviews;
    void addReview(Review review);
    Vector getReviews() { return reviews; }
}

```

The goal of the API is to let the developer construct the data using Java only, then somehow convert the classes to XML and later re-construct the contents of the Java classes from the XML file. For example:

```
BookStore bookStore = new BookStore("The Programmer's Book Store");
BookStore.setAddress( new Address("1 Maple St.", "Middletown", "NJ") );

Book book = new Book("Java in a Nutshell", "Flannigan");
Book.setCost(49.0f);
BookStore.add(book);

saveToXml(bookStore, "bookStore.xml"); // a hypothetical method

// later, read the contents back to Java

BookStore bookStore = ReadFromXml("bookStore.xml"); // a hypothetical method
Collection books = bookStore.getBooks();
```

The next section describes the API and mechanism used to accomplish this

XML to Java API

The XmlReaderWriterInterface

In order to convert user-defined types to XML, such as *BookStore*, *Book*, and *Review* in the above example, each must include some instructions about how to do the conversion. The API needs to know:

- Which fields inside the Java object should be saved to XML? We may want the Java class to contain other fields that are used internally and should not get converted.
- For each field that we want converted, what tag name should be used when generating the corresponding XML element.
- When reading an XML file and constructing the java objects, what classes should be instantiated for each element? We want to be able to support different classes and different Java implementations using the same XML representation.

The Java to XML API accomplishes this by defining the *XmlReaderWriter* interface. Any class that we wish to convert to XML or construct from an XML document must implement this interface. The interface is defined as follows:

```
interface XmlReaderWriter {
    FieldDescription[] getFieldDescriptions();
    void setAttributes(Hashtable ht);
    Hashtable getAttributes();
}
```

The first method *getFieldDescriptions* is required. This allows the class to define how it should be converted. Typically, this will add just one line of code for all sub-elements contained by the class. The second two methods are optional, and are not used if the class does not use *attributes* as mentioned above. The *FieldDescription* class is described in the next section, but to illustrate its use, the *BookStore* class from the last example can add the following lines of code to implement it:


```

class BookStore {
    public FieldDescription[] getFieldDescriptions() {
        return new FieldDescription[] {
            new FieldDescription("name", String.class, "getName", "setName"),
            new FieldDescription("address", Address.class, "getAddress", "setAddress"),
            new FieldDescription("books", Vector.class, "getBooks", "setBooks",
                Book.class, "book"),
        };
    }
    public void setAttributes(Hashtable ht) {} // not used
    public void Hashtable getAttributes() { return null; } // not used
}

```

Note that the *BookStore* class only needs to describe fields directly contained in it. Sub-elements such as *Address* and *Book* (contained in the collection) will provide their own descriptions by implementing the interface.

The FieldDescription Class

The *FieldDescription* class provides the set of information needed by the API to convert between Java and XML representations. The *FieldDescription* class has the following constructors:

```

FieldDescription(String tagName, Class objectClass, String getMethod, String setMethod);
FieldDescription(String tagName, Class objectClass, String getMethod, String setMethod,
    Object contentClasses);
FieldDescription(String tagName, Class objectClass, String getMethod, String setMethod,
    Object contentClasses, Object ContentTagName);

```

For simple elements, the first constructor is used. When a field is represented as a Collection, Hashtable or an array, the second forms are used to describe the elements in the collection.

For the first form, the parameters are:

- *TagName* – when writing this field to XML, what name should be used for the corresponding XML element tag.
- *ObjectClass* – Specifies the Class to instantiate when constructing this field from XML.
- *GetMethod* – The name of the Java method to invoke to retrieve this field.
- *SetMethod* – The name of the Java method to invoke to retrieve this method.

The *contentClass* parameter is used to specify what class of object must be instantiated and constructed from the element. It may be any one of the following:

- A single Class object. In this case, all elements will be represented by the same class.
- The class may be based on element tag name. In this case, the parameter passed in is a Hashtable, where the keys are the element names and the values are the corresponding Class types.
- The class may be based on an attribute value contained in the elements. In this case, the parameter is a Hashtable where they keys are specified in the form "*attrName=attrValue*" and the values are the Class types to use.

A containing class must also specify the element names to use for each field when writing them to the XML document. The *contentName* parameter may be any of the following:

- The same name for all elements. In this case, pass a single String containing the name to use.
- The name may be obtained by invoking a "get" method on the object. In this case, you must specify a method name preceded by an "@" (e.g. "@getMyName"). This method must take no parameters and return a String.
- The name may be based on the class of object. In this case, the keys should be the Class types and the corresponding values should be the tag name to use.
- Based on Hashtable keys, if collection is an instance of java.util.Hashtable. In this case, use the FieldDescription constructor that does not take a contentName parameter.

In order to support inheritance, subclasses only need to define FieldDescriptions for new elements, and simply concatenate the FieldDescriptions of the parent class. For this purpose, the FieldDescription class has a *concat* method to make this easy. For example, the ReviewedBook class inherits from the Book class, so its *getFieldDescription* method could be written as:

```
class ReviewedBook extends Book {
    public FieldDescription[] getFieldDescriptions() {
        FieldDescription[] fda = new FieldDescription[] {
            new FieldDescription("reviews", Vector.class, "getReviews", "setReviews",
                                Review.class, "reviews")
        };
        return FieldDescription.concat( fda, super.getFieldDescriptions() );
    }
}
```

For the case of the book collection, we may just construct a Book object for each element if all we are interested in is the base class. However, if we want to construct a different type, depending on the attribute, we may do that as well. We can modify the *contentClass* parameter to be a Hashtable, and specify the type based on attribute:

```
Hashtable ht = new Hashtable();
ht.put("reviewed=yes", ReviewedBook.class);
ht.put("reviewed=no", Book.class);

fd = new FieldDescription("books", Vector.class, "getBooks", "setBooks",
    ht, "book");
```

Now the API can determine what type of class to instantiate based on attribute.

Attributes versus Elements

It is up to an implementation to decide whether to use elements or attributes. For example, consider a User object:

```
User {
    String id;
    String lastName;
    String firstName;
    String phoneNumber;
}
```

In this object model, *id*, *lastName*, *firstName* and *phoneNumber* are considered "attributes" of *User*. In XML, this may be modeled as either.

```
<user>
  <id>1001</id>
  <lastName>Smith</lastName>
  <firstName>Joe</firstName>
  <phoneNumber>732-222-1234</phoneNumber>
</user>
```

OR AS

```
<user id="12345">
  <lastName>Smith</lastName>
  <firstName>Joe</firstName>
  <phoneNumber>732-222-1234</phoneNumber>
</user>
```

For the second case, rather than describing *id* with a *FieldDescription*, it would be treated as an attribute in the *User* class:

```
class user {
    String id = null;

    FieldDescription[] getFieldDescriptions() {
        return new FieldDescription[] {
            new FieldDescription("lastName", String.class, "getLastName", "setLastName"),
            new FieldDescription("firstName", String.class, "getFirstName", "setFirstName"),
            new FieldDescription("phoneNumber", String.class, "getNumber", "setNumber"),
        };
    }

    Hashtable getAttributes() {
        Hashtable ht = new Hashtable();
        ht.put("id", id);
        return ht;
    }

    void setAttributes(Hashtable ht) {
        String s = ht.get("id");
        if (s != null) this.id = new String(s);
    }
}
```

The *XmlUtil* class

This class provides static methods that load and save *Documents* to and from XML streams as well as converting *Document* objects to and from specified Java classes. For the above book store example, the complete code needed to save the *BookStore* to an XML file and later restore it is as follows:

```
// construct a book store and populate it with books...
BookStore bookStore = new BookStore();
Book book = new Book();
BookStore.add(book); // etc.

// turn it into a Document object and save to an XML file
Document doc = XmlUtil.getDocument("bookStore", bookStore);
```


From: Opalach, Joseph J (Joe)
Sent: Thursday, January 27, 2000 1
To: Walker, William J (William)
Subject: File patent candidate

EXHIBIT 3

Hi Bill,

I've looked over your submission and we will move forward with it.

Most of the patent application development is contracted to outside attorneys, so I will get your submission rolling (so-to-speak) to get an outside attorney assigned. I will still be your contact within Lucent if you have any questions, complaints, etc.

The outside attorney should be in touch with you in approx. 2 to 3 months. I am going to "schedule" this submission for filing in 6 months (the filing date in the end has to do with the current workload of the assigned attorney and yourself, since you will have to provide assistance and review the patent application, so it could be filed sooner than 6 months).

Just fyi, I also have to approve the patent application, but I typically review it at its final stage (after you have seen it and it is technically correct).

Take care,

Joe

From: Walker, William J (William)
Sent: Wednesday, January 26, 2000 8:38 AM
To: Opalach, Joseph J (Joe)
Cc: Huang, Yean-Ming (Ming); Bauer, Eric (Eric); Chien, Anthony H (Anthony); Walker, William J (William)
Subject: patent candidate

EXHIBIT 2

Joe -

My manager, Yean-Ming Huang, asked me to forward this to you as a candidate for a patent. It is a Java to Xml Conversion mechanism. This has been developed for use in IP Exchange Comm for database import/export and possibly data exchange. It is applicable to any Java/XML application. I have not been able to find any existing mechanisms that worked in this way.

Please let me know if you need any additional information.

Thanks,
-Bill Walker

<<File: XmlUtil.doc>>

Bill Walker
Lucent Technologies
732-417-4808
wjw@lucent.com

EXHIBIT 4

SUBMISSION NO. : 121717
ATTORNEY : Opalach, Joseph J
Title :

A Mechanism For Converting Between Java Classes And XML

-----MAIN INFORMATION-----

ITEM STATUS	: Open	LUCENT RATING	: III
STATUS DATE	: 1/31/00	GOVT. CONTRACT	: N
OPEN DATE	: 1/27/00	TYPE	: Patentability
CLOSE DATE	:	DEADLINE DATE	:
CLASS CODE	: III	TECHNOLOGY	:
BU CODES(S)	: GSGBM		

-----SUBMITTER INFORMATION-----

SUBMITTER NAME : Walker, William J
COMPANY : LUCENT
LOCATION : nj7460
EXTENSION : +1 732 817 4609
DEPARTMENT : 13M2A0000
DIRECTOR : Brian J. Allain

Brief Description:

EXHIBIT 4 (continued)

SUBMISSION INFORMATION

Class Code: IIIATTORNEY: JJO

121717

SUBMISSION TITLE A MECHANISM FOR CONVERTING BETWEEN JAVA CLASSES
AND XML

FILING DEADLINE: _____

DATE RECEIVED FROM INVENTOR: 1/27/00INVENTOR: Walker William J.
Last First MiddleSSN (if known): _____
Organization No.: _____INVENTOR: _____
Last First MiddleSSN (if known): _____
Organization No.: _____INVENTOR: _____
Last First MiddleSSN (if known): _____
Organization No.: _____INVENTOR: _____
Last First MiddleSSN (if known): _____
Organization No.: _____INVENTOR: _____
Last First MiddleSSN (if known): _____
Organization No.: _____INVENTOR: _____
Last First MiddleSSN (if known): _____
Organization No.: _____*Please attach all paperwork desired to be bound into folder*

EXHIBIT 5**Lucent Technologies**
Bell Labs Innovations**BELL LABORATORIES**

Subject: Patent Submission IDS #121717
"A Mechanism For Converting Between
Java Classes And XML"

Date: January 31, 2000

From: Joseph J. Opalach
Intellectual Property-Law
HO 3K-238 (732) 949-1708

B. J. Allain:

Patent submission # 121717 was formally docketed to consider the patentability of the above-identified subject matter. W. J. Walker appears to be the originator.

Should you have any questions regarding the subject matter, please feel free to contact me.

HO-P33A70000-JJO-cl

Copy to:
W. J. Walker
A. H. Chien
Y. Huang

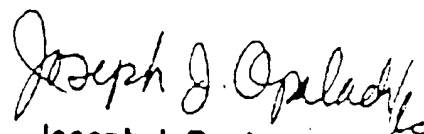

Joseph J. Opalach
Corporate Counsel

EXHIBIT 7

How can you detect someone is using your idea - without reverse engineering the website (which implies you would have access to the code) ?

Just fyi, in a very general sense, we prioritize submissions based on how easy it is to get a return on investment for the resulting patent (i.e., a licensing royalty). Patents that pertain to standards or are easy to detect (without incurring the cost of reverse engineering), get to the top of the list faster.

Thanks

Joe

From: Walker, William J (William)
Sent: Monday, May 08, 2000 2:45 PM
To: Opalach, Joseph J (Joe)
Cc: Little, Cheryl (Cheryl)
Subject: RE: patent candidate

EXHIBIT 6

I just wanted to check on the status of this patent submission. I have heard nothing from any attorney as of yet, and it has been over three months. As you know, both Java and XML are two very hot technologies today, with new designs coming up daily. My concern is that if it takes much longer to move on this one, that someone else will come up with this...

Thanks,
Bill Walker

Bill Walker
Lucent Technologies
732-817-4609
wjw@lucent.com

From: Opalach, Joseph J (Joe)
Sent: Thursday, January 27, 2000 11:12 AM
To: Walker, William J (William)
Subject: RE: patent candidate

EXHIBIT 3

Hi Bill,

I've looked over your submission and we will move forward with it.

Most of the patent application development is contracted to outside attorneys, so I will get your submission rolling (so-to-speak) to get an outside attorney assigned. I will still be your contact within Lucent if you have any questions, complaints, etc.

one form or another.

Thanks,
Bill

EXHIBIT 11

-----Original Message-----

From: Opalach, Joseph J (Joe)
Sent: Tuesday, September 26, 2000 12:13 PM
To: Walker, William J (William)
Subject: RE: patent candidate

Bill,

Your work was transferred from Lucent to Avaya.

The Avaya patent attorney is Tom Bean.

You'll have to contact Tom for information. However, you might want to wait another couple of weeks, Tom is also responsible for the transfer of (intellectual property) information to Avaya (including, e.g., set up of computers systems, data bases, physical storage issues, etc.) and these next couple of weeks will be hectic for him.

Joe

From: Walker, William J (William)
Sent: Tuesday, September 26, 2000 11:53 AM
To: Opalach, Joseph J (Joe)
Subject: RE: patent candidate

EXHIBIT 10

Joe - It's been 4 months, so I just wanted to check back on this ... do you have any further information?

Thanks,
Bill Walker

-----Original Message-----

From: Opalach, Joseph J (Joe)
Sent: Monday, May 08, 2000 3:17 PM
To: Walker, William J (William)
Subject: RE: patent candidate

EXHIBIT 7

Bill,

At this point, you will have to be more patient. I do not see anything being done for the next 4 months or so.

With respect to timeframe and someone else coming up with it - that is true for every submission we have.

It would better help me to prioritize this and accelerate it if you could answer the following:

Will the work be a part of a standards contribution ? (At first pass, I don't believe it is but I need to be sure.)

SUBMISSIONS, CASES REFERRED TO OUTSIDE COUNSEL**Legal Secretary**EXHIBIT 8

DATE _____

ATTORNEY JJDIDS NUMBER 121717

CASE NAME/NUMBER _____

Provisional? ☐ Yes ☐ No

File Date _____

CLASSIFICATION CODE* III

[See NOTE #1 below]

SPECIALTY AREA/TECHNOLOGY DESIGNATION 2, 1, C

[See Attachment A for Codes]

OFFICE ACTION DUE DATE** _____

[See NOTE #2 below]

FILING DEADLINE** _____

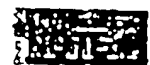
[To be completed for CRITICAL Dates ONLY]

OC FIRM PREFERENCE (IF ANY) _____

Office Manager

RECEIVED FROM LEGAL SECRETARY _____

SENT TO OUTSIDE COUNSEL GROUP _____

If designating a Class Code III, a foreign filing decision MUST be indicated:FOREIGN FILING? ☐ Yes ☒ No

-If Yes, MCC approval is required per the "Lucent Patent Filing and Maintenance Policy".

APPROVAL:

(MCC Signature)_____
DateIf OFFICE ACTION is past the due date set by the USPTO/Foreign Agents, or FILING DEADLINE is two months or less, please follow the "Expedited Outside Counsel Procedure".

SUBMISSION - OPEN, RE-OPEN, OR TRANSFER

G. Ranieri

General Attorney

August 3, 2000

Date

OPEN

Enter this information into the "mksub" database,
together with Brief Description (if available), and
attach printsub page to PT 360.sub.

Assign to: _____

Submission No. _____ Work Project No. _____

Government Contract No. _____ BU(s) Code: _____

Title and Name(s) to be used in the SUBJECT.

RE-OPEN SUBMISSION

Assign to: _____ Effective Date: _____

Government Contract No. _____ BU(s) Code: _____

X TRANSFER SUBMISSION 121717From: J. J. Opalach To: T. J. Bean Effective: 8/3/00APPROVAL BY ORIGINATOR G. Ranieri lc DATE: 8/3/00
General Attorney

APPROVAL IF ASSIGNED

TO ANOTHER CENTER _____ DATE: _____

General Attorney

TO BE FILED IN SUBMISSION FOLDER

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Avaya's existence as a standalone company began Oct. 2, 2000, when we were spun off from Lucent Technologies and began trading on the New York Stock Exchange under the symbol AV. For more than a century prior to that day we were a part of Western Electric, ATT, and Lucent.

In our early days we earned a reputation for creating high-performing, solidly reliable -- some would say "bullet-proof" -- enterprise communication solutions incorporating such products as deskset phones, office-building switches and switchboards, call-center systems, voice-mail software, cabling, and many others. Esteemed Bell Laboratories scientists won 1,600 pre-spinoff patents developing technology now under the Avaya banner.

Our reputations for product quality and technological innovation are just as strong today, even as we've shifted our focus to such areas as Internet Protocol telephony, wireless data communication, customer-relationship-management software and speech recognition technology.

The offspring Avaya Labs organization has added 100 more patents to the list of patents, as they create new ways to help companies route customer contacts, analyze their data networks for adding voice traffic, and find other ways to unleash the power of communications.

New technologies, same focus: giving enterprises the communication tools they need to succeed in their endeavors.

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Bean, Thomas J (Tom)

EXHIBIT 14

From: Mohler, David S (David)
 Sent: Friday, October 20, 2000 12:47 PM
 To: Walker, William J (William); Bean, Thomas J (Tom)
 Cc: Rudnick, Robert E (Rob); Potkay, Eugene (Gene); Beightol, Dean D (Dean)
 Subject: RE: patent candidate

Tom,

I would like to suggest a very high priority on this application. The reason for this is the importance in the industry with anything related to XML or its variants (UXML, VXML, etc). Further, XML is key to several of Avaya's "growth engine" technologies. Bill Gates recently said that "We are betting a significant portion of Microsoft's future on XML." This makes sense because in its ultimate evolution (so far anyway) it helps MS break the strangle-hold that Sun and Linux has on some portions of the operating systems market that MS covets.

During the prosecution of this, you may want to talk with David Volejnec about potential overlap with Terry Jennings "Interactor" application (Jennings 5) and his new patent idea that he just talked with David about 6 weeks or so (Jennings 7). Getting the broadest possible claims filed in this area would be enormously commercially valuable. I am well versed in this area and would be glad to help in anyway that I can. Please note that this is a very fast moving area and that much of the prior art is only referenced on the web. I would suggest the following URLs for prior art research:

<http://www.xml.com/xml/pub>
<http://www.hr-xml.org/>
<http://www.oasis-open.org/cover/xml.html>
<http://www.xml-zone.com/>
<http://www.xml-elephant.com/>
<http://www.extensibility.com/>
<http://www.xmltree.com/>
<http://msdn.microsoft.com/xml/default.asp>
<http://metalab.unc.edu/xml/>
<http://www.w3.org/XML/Activity.html>
<http://www.xmlglobal.com/>
<http://www.perlxml.com/faq/perl-xml-faq.html>
<http://www.ozemail.com.au/~sakthi/Common/xml.html>
<http://info.dr.lucant.com/~tdj/docs/xmlaud.doc>

Regards -

David

David S. Mohler
 Director of Intellectual Property
 Avaya Inc.

(303) 538-1093 Voice
 (303) 538-5066 Fax
dmohler@avaya.com email

From: Bean, Thomas J (Tom)
 Sent: Friday, October 20, 2000 7:07 AM
 To: Walker, William J (William)
 Cc: Rudnick, Robert E (Rob); Mohler, David S (David)

EXHIBIT 13

one form or another.

Thanks,
Bill

-----Original Message-----

From: Opalach, Joseph J (Joe)
Sent: Tuesday, September 26, 2000 12:13 PM
To: Walker, William J (William)
Subject: RE: patent candidate

EXHIBIT 11

Bill,

Your work was transferred from Lucent to Avaya.

The Avaya patent attorney is Tom Bean.

You'll have to contact Tom for information. However, you might want to wait another couple of weeks. Tom is also responsible for the transfer of (intellectual property) information to Avaya (including, e.g., set up of computers systems, data bases, physical storage issues, etc.) and these next couple of weeks will be hectic for him.

Joe

From: Walker, William J (William)
Sent: Tuesday, September 26, 2000 11:53 AM
To: Opalach, Joseph J (Joe)
Subject: RE: patent candidate

EXHIBIT 10

Joe - It's been 4 months, so I just wanted to check back on this ... do you have any further information?

Thanks,
Bill Walker

-----Original Message-----

From: Opalach, Joseph J (Joe)
Sent: Monday, May 08, 2000 3:17 PM
To: Walker, William J (William)
Subject: RE: patent candidate

EXHIBIT 7

Bill,

At this point, you will have to be more patient. I do not see anything being done for the next 4 months or so.

With respect to timeframe and someone else coming up with it - that is true for every submission we have.

It would better help me to prioritize this and accelerate it if you could answer the following:

Will the work be a part of a standards contribution? (At first pass, I don't believe it is but I need to be sure.)

11:41 AVAYA IP LAW 732 817 4086 + 91703205905
Subject: RE: patent candidate

Bill:

EXHIBIT 13 (continued)

This submission is currently open and has not yet been assigned for development of an associated patent application. If you have any further information or details that have emerged since you made your original submission, please forward these to me. Like Lucent, Avaya's policy remains to seek appropriate protection for its intellectual property. We do promote use of our technology within industry standards, for example, by making the technology available under convenient and reasonable licensing terms. I would suggest that we discuss the particulars of your submission with my colleague Rob Rudnick, who has been supporting a number of our Avaya standards teams, to determine how we might proceed in Avaya's best interest.

Tom

Thomas J. Bean
Corporate Counsel
Avaya Inc.

☎ (732) 817-6164 (phone)

☎ (732) 817-4504 (fax)

✉ tjbean@avaya.com

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From: Walker, William J (William)
Sent: Friday, October 20, 2000 7:37 AM
To: Bean, Thomas J (Tom)
Subject: FW: patent candidate

EXHIBIT 12

Hello Tom:

Joseph Opalach said you would be the person to contact about this. Last January, I submitted a candidate for a patent, which deals with a mechanism for converting Java to XML. The submission was accepted, but nothing further was done with it to my knowledge.

Java and XML are very hot technologies right now, and this is a very useful mechanism for converting between the two. If nothing is going to be done regarding a patent, I would really like to see this submitted to Sun's Java Community for consideration as was done for their schema compiler.

http://java.sun.com/aboutJava/communityprocess/jsr/jsr_031_xmld.html

I understand that there are difficulties deciding what patents to go after first in terms of things that can be proven easily. If this one is not easy to go after, I would rather see it dropped as a patent candidate and get it out to the Java community ASAP, in

EXHIBIT 15

Facsimile Cover Sheet

To: Laura E. Crater
Company: Thomason, Moser &
Patterson

From: Linda K. Krichman
Company: Avaya Inc.
Phone: (732) 817-4086
Fax: (732) 817-4504

Date: February 8, 2001

Pages including this 2
cover page:

EXHIBIT 15 (continued)

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Avaya Inc.

Phone:
Fax:

(732) 817-4086
(732) 817-4504

No. of pages including cover sheet: 1

OC Firm Name/Contact: Eamon J. Wall by Laura E. Crater

Fax No.: 732-530-9808

Phone No.: 732-530-9808

Date Needed: ASAP

Submission File No.: 121717

Recommend Filing: Avaya to
provide Application File No. ✓

Recommend No Filing

LIST NAMES OF ALL INVENTORS

1. William J. Walker

2.

3.

4.

5.

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8.

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11.

12.

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14.

15.

16.

App. Type: ☐ Prov. ☒ New ☐ CIP ☐ Continuation ☐ Divisional ☐ RCE

First Filed Country (if other than U.S.):

Estimated Fee to File*

\$6,900

Special Instructions:

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Avaya's Application File No.:

First-Named Inventor:

500007-A-01-US
(WALKER)

*Required if estimated fee is greater than \$5500.00

Feb-22-2005 11:33am

From: Moser, Patterson & Sheridan, LLP - NJ

+17325309606

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OC Firm Name/Contact: Eamon J. Wall by Laura E. Crater

Fax No.: 732-530-9808 Phone No.: 732-530-9808

Date Needed: ASAP

Submission File No.: 121717

Recommend Filing: Avaya to
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LIST NAMES OF ALL INVENTORS

- | | |
|---------------------|-----------|
| 1. William J Walker | 9. _____ |
| 2. _____ | 10. _____ |
| 3. _____ | 11. _____ |
| 4. _____ | 12. _____ |
| 5. _____ | 13. _____ |
| 6. _____ | 14. _____ |
| 7. _____ | 15. _____ |
| 8. _____ | 16. _____ |

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provide Application File No. ✓

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LIST NAMES OF ALL INVENTORS:

- | | |
|----------------------|-----------|
| 1. William J. Walker | 9. _____ |
| 2. _____ | 10. _____ |
| 3. _____ | 11. _____ |
| 4. _____ | 12. _____ |
| 5. _____ | 13. _____ |
| 6. _____ | 14. _____ |
| 7. _____ | 15. _____ |
| 8. _____ | 16. _____ |

App. Type: ☐ Prov. ☒ New ☐ CIP ☐ Continuation ☐ Divisional ☐ RCE

First Filed Country (if other than U.S.): _____

Estimated Fee to File* \$6,900

Special Instructions:

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Avaya's Application File No.,

First-Named Inventor: William J. Walker

*Required if estimated fee is greater than \$5500.00

A Mechanism for Converting Between Java Classes and XML

Overview

Java and XML (eXtensible Markup Language) technologies provide developers with the tools to write portable code and operate on portable data. Support for XML in the Java platform is increasing with the availability of standard APIs and parsers such as SAX and DOM (Document Object Model). While these APIs provide standard mechanisms for reading XML documents, they work at a relatively low level. Using DOM for example, developers must have a detailed understanding of how to use the API to navigate nodes, elements, attributes, and to extract textual content and then convert the text to useful program data types. This may be tedious, error prone, and requires the developer to work with classes outside the application domain.

This paper describes a mechanism that allows developers to convert easily between Java and XML representations of data while working exclusively with classes from the application domain. With very little work, developers can add XML support for complex hierarchies of any user-defined class, Java primitives (int, float, boolean, etc.) and wrapper classes (Integer, Boolean, Float, etc.) as well as collections and arrays of such objects.

A proposal by Sun Microsystems has been drafted that deals with this topic using a different approach (*An XML Data-Binding Facility for the Java Platform*, Mark Reinhold, Core Java Platform Group, 30 July 1999 – see www.javasoft.com/xml/). They propose a schema compiler that generates Java classes from an XML schema. The API proposed in this paper has the following advantages:

- No schema compiler is required to generate new Java classes.
- New or existing classes can be easily annotated to work with the API.
- The developer has full control and flexibility over how the classes get mapped to XML. Two totally different class implementations can work with the same XML representation in different ways.

The following sections discuss how the API is used including the API class descriptions.

An Example

Data is described in XML in a hierarchical way by tagging elements. An XML document contains one single element (the document element) that may contain any number of other elements. For example, an XML representation of a book store may be written as:

```
<bookStore>
  <name>The Programmer's Book Store</name>
  <address>
    <street>1 Industrial Way</street>
```

```

    <city>Middletown</city>
    <state>NJ</state>
    <zip>07701</zip>
  </address>
  <books>
    <book reviewed="no">
      <title>Xml and Java</title>
      <author>Hiroshi Maruyama</author>
      <cost>$49.00</cost>
    </book>
    <book reviewed="yes">
      <title>Java in a Nutshell</title>
      <author>Flannigan</author>
      <cost>$39.00</cost>
      <review>
        <reviewedBy>Joe</reviewedBy>
        <rating>3.5</rating>
      </review>
      <review>
        <reviewedBy>Bob</reviewedBy>
        <rating>9.5</rating>
      </review>
    </book>
  </books>
</bookStore>

```

The document contains a single element *bookStore*, which has sub-elements for *name*, *address*, and *books*. The *books* element contains a collection of *book* elements. Elements may contain one or more "attributes" such as the *reviewed* attribute of *book*, used to indicate whether the book has been reviewed or not. Books that have been reviewed contain one or more *review* elements.

This data can be modeled by a set of Java classes, such as:

```

class BookStore {
    String name;
    Address address;
    Vector books;
    // ... public methods
}

class Address {
    String street;
    String city;
    String state;
    String zip;
    // ... public methods
}

class Book {
    String author;
    String title;
    float cost;
    // ... public methods
}

class ReviewedBook extends Book {
    Vector reviews;
    void addReview(Review review);
    Vector getReviews() { return reviews; }
}

```

The goal of the API is to let the developer construct the data using Java only, then somehow convert the classes to XML and later re-construct the contents of the Java classes from the XML file. For example:

```
BookStore bookStore = new BookStore("The Programmer's Book Store");
bookStore.setAddress( new Address("1 Maple St.", "Middletown", "NJ") );

Book book = new Book("Java in a Nutshell", "Flannigan");
book.setCost(49.0f);
bookStore.add(book);

SaveToXml(bookStore, "bookStore.xml"); // a hypothetical method

// later, read the contents back to Java

BookStore bookStore = ReadFromXml("bookStore.xml"); // a hypothetical method
Collection books = bookStore.getBooks();
```

The next section describes an API that accomplishes this.

XML to Java API

The XmlReaderWriterInterface

In order to convert user-defined types to XML, such as *BookStore*, *Address*, *Book*, and *Review* in the above example, each must include some instructions about how to do the conversion. The API needs to know:

- Which fields inside the Java object should be saved to XML? We may want the Java class to contain other fields that are used internally and should not get converted.
- For each field that we want converted, what tag name should be used when generating the corresponding XML element.
- When reading an XML file and constructing the java objects, what classes should be instantiated for each element? We want to be able to support different classes and different Java implementations using the same XML representation.

The Java to XML API accomplishes this by defining the *XmlReaderWriter* interface. Any class that we wish to convert to XML or construct from an XML document must implement this interface. The interface is defined as follows:

```
interface XmlReaderWriter {
    FieldDescription[] getFieldDescriptions();
    void setAttributes(Hashtable ht);
    Hashtable getAttributes();
}
```

The first method *getFieldDescriptions* is required. This allows the class to define how it should be converted. Typically, this will add just one line of code for all sub-elements contained by the class. The second two methods are optional, and are not used if the class does not use *attributes* as mentioned above. The *FieldDescription* class is described in the next section, but to illustrate it's use, the *BookStore* class from the last example can add the following lines of code to implement it:

```

class BookStore {
    ...
    public FieldDescription[] getFieldDescriptions() {
        return new FieldDescription[] {
            new FieldDescription("name", String.class, "getName", "setName"),
            new FieldDescription("address", Address.class, "getAddress", "setAddress"),
            new FieldDescription("books", Vector.class, "getBooks", "setBooks",
                Book.class, "book"),
        };
    }
    public void setAttributes(Hashtable ht) {} // not used
    public void Hashtable getAttributes() { return null; } // not used
}

```

Note that the *BookStore* class only needs to describe fields directly contained in it. Sub-elements such as *Address* and *Book* (contained in the collection) will provide their own descriptions by implementing the interface.

The FieldDescription Class

The *FieldDescription* class provides the set of information needed by the API to convert between Java and XML representations. The *FieldDescription* class has the following constructors:

```

FieldDescription(String tagName, Class objectClass, String getMethod, String setMethod);
FieldDescription(String tagName, Class objectClass, String getMethod, String setMethod,
    Object contentClasses);
FieldDescription(String tagName, Class objectClass, String getMethod, String setMethod,
    Object contentClasses, Object ContentTagNames);

```

For simple elements, the first constructor is used. When a field is represented as a Collection, Hashtable or an array, the second forms are used to describe the elements in the collection.

For the first form, the parameters are:

- *TagName* – when writing this field to XML, what name should be used for the corresponding XML element tag.
- *ObjectClass* – Specifies the Class to instantiate when constructing this field from XML
- *GetMethod* – The name of the Java method to invoke to retrieve this field.
- *SetMethod* – The name of the Java method to invoke to retrieve this method.

The *contentClass* parameter is used to specify what class of object must be instantiated and constructed from the element. It may be any one of the following:

- A single Class object. In this case, all elements will be represented by the same class.
- The class may be based on element tag name. In this case, the parameter passed in is a Hashtable, where the keys are the element names and the values are the corresponding Class types.
- The class may be based on an attribute value contained in the elements. In this case, the parameter is a Hashtable where they keys are specified in the form "*attrName=attrValue*" and the values are the Class types to use.

A containing class must also specify the element names to use for each field when writing them to the XML document. The *contentName* parameter may be any of the following:

- The same name for all elements. In this case, pass a single String containing the name to use.
- The name may be obtained by invoking a "get" method on the object. In this case, you must specify a method name preceded by an "@" (e.g. "@getMyName"). This method must take no parameters and return a String.
- The name may be based on the class of object. In this case, the keys should be the Class types and the corresponding values should be the tag name to use.
- Based on Hashtable keys, if collection is an instance of java.util.Hashtable. In this case, use the FieldDescription constructor that does not take a contentName parameter.

In order to support inheritance, subclasses only need to define FieldDescriptions for new elements, and simply concatenate the FieldDescriptions of the parent class. For this purpose, the FieldDescription class has a *concat* method to make this easy. For example, the ReviewedBook class inherits from the Book class, so its *getFieldDescription* method could be written as:

```
class ReviewedBook extends Book {
    ...
    public FieldDescription[] getFieldDescriptions() {
        FieldDescription[] fda = new FieldDescription[] {
            new FieldDescription("reviews", Vector.class, "getReviews", "setReviews",
                                Review.class, "reviews")
        };
        return FieldDescription.concat( fda, super.getFieldDescriptions() );
    }
}
```

For the case of the book collection, we may just construct a Book object for each element if all we are interested in is the base class. However, if we want to construct a different type, depending on the attribute, we may do that as well. We can modify the *contentClass* parameter to be a Hashtable, and specify the type based on attribute:

```
Hashtable ht = new Hashtable();
ht.put("reviewed=yes", ReviewedBook.class);
ht.put("reviewed=no", Book.class);

fd = new FieldDescription("books", Vector.class, "getBooks", "setBooks",
    ht, "book");
```

Now the API can determine what type of class to instantiate based on attribute.

Attributes versus Elements

It is up to an implementation to decide whether to use elements or attributes. For example, consider a User object:

```
User {
    String id;
    String lastName;
    String firstName;
    String phoneNumber
```

}

In this object model, *id*, *lastName*, *firstName* and *phoneNumber* are considered "attributes" of User. In XML, this may be modeled as either:

```
<user>
  <id>1001</id>
  <lastName>Smith</lastName>
  <firstName>Joe</firstName>
  <phoneNumber>732-222-1234</phoneNumber>
</user>
```

OR AS

```
<user id="12345">
  <lastName>Smith</lastName>
  <firstName>Joe</firstName>
  <phoneNumber>732-222-1234</phoneNumber>
</user>
```

For the second case, rather than describing *id* with a FieldDescription, it would be treated as an attribute in the User class:

```
Class user {
    String id = null;

    FieldDescription[] getFieldDescriptions() {
        return new FieldDescription[] {
            new FieldDescription("lastName", String.class, "getLastName", "setLastName"),
            new FieldDescription("firstName", String.class, "getFirstName", "setFirstName"),
            new FieldDescription("phoneNumber", String.class, "getNumber", "setNumber"),
        };
    }

    Hashtable getAttributes() {
        Hashtable ht = new Hashtable();
        ht.put("id", id);
        return ht;
    }

    void setAttributes(Hashtable ht) {
        String s = ht.get("id");
        if (s != null) this.id = new String(s);
    }
}
```

The XmlUtil class

This class provides static methods that load and save Documents to and from XML streams as well as converting Document objects to and from specified Java classes. For the above book store example, the complete code needed to save the BookStore to an XML file and later restore it is as follows:

```
// construct a book store and populate it with books...
BookStore bookStore = new BookStore(...);
Book book = new Book(...);
BookStore.add(book); // etc.

// turn it into a Document object and save to an XML file
```

```

Document doc = XmlUtil.getDocument("bookStore", bookStore);
XmlUtil.writeXml(doc, "books.xml");

// later, reload the book store from XML
Document doc = XmlUtil.readXml("books.xml");
BookStore bookStore = (BookStore)XmlUtil.getObject(doc, BookStore.class);
Collection books = bookStore.getBooks(); // do something with books

```

The *readXml* and *writeXml* are used to read and write *Documents* to and from XML files (or more generally streams). The conversion from a Java object to XML is accomplished by:

```
Document XmlUtil.getDocument(String docName, Object obj);
```

As long as the top level object and contained objects implement *XmlReaderWriter*, the whole collection can be handled by this call. To convert a *Document* to any class implementing *XmlReaderWriter*, use:

```
Object XmlUtil.getObject(Document doc, Class objectClass);
```

An instance of *objectClass* will be instantiated and queried for its *FieldDescriptions*. From that point the API can determine how to convert all nodes that it encounters. This works recursively through the whole document tree. As mentioned, different object classes can be used to produce different results.

Summary

The API described here is a simple yet powerful mechanism for converting between Java and XML representations. It can be easily applied to any application that is written in Java and is using XML as an external data exchange format. The mechanism will work with any XML parser that implements the standard W3C Document Object model. XML representations are easily converted directly into the Java objects and data types used by developers within their application.

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